Task Order 101 - ERM Phase II

Deliverable 101.1.4 - ERM Product Overview

Nov 12th, 2002

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Background – ERM Business Needs & Drivers

ERM Project – Key Business Needs & Drivers

1. A comprehensive Records Management solution required to comply with Federal records management mandates (GPEA, GISRA) and avoid repeated OIG/GAO citations.

2. An integrated NARA-compliant solution was required to effectively manage increasing volumes of paper and electronic documents.

3. Need to reduce recurring annual operational costs by leveraging an enterprise-wide repository infrastructure and associated services.

4. Need to realize projected cost savings and reduce unit costs. e.g space, duplication, shipping and productivity.

5. Serve as the first Pilot deployment initiative for Department's overall ERM efforts. (MIT Plan)

6. Need to comply with the latest Records Management Directive from Dept.Of Education.
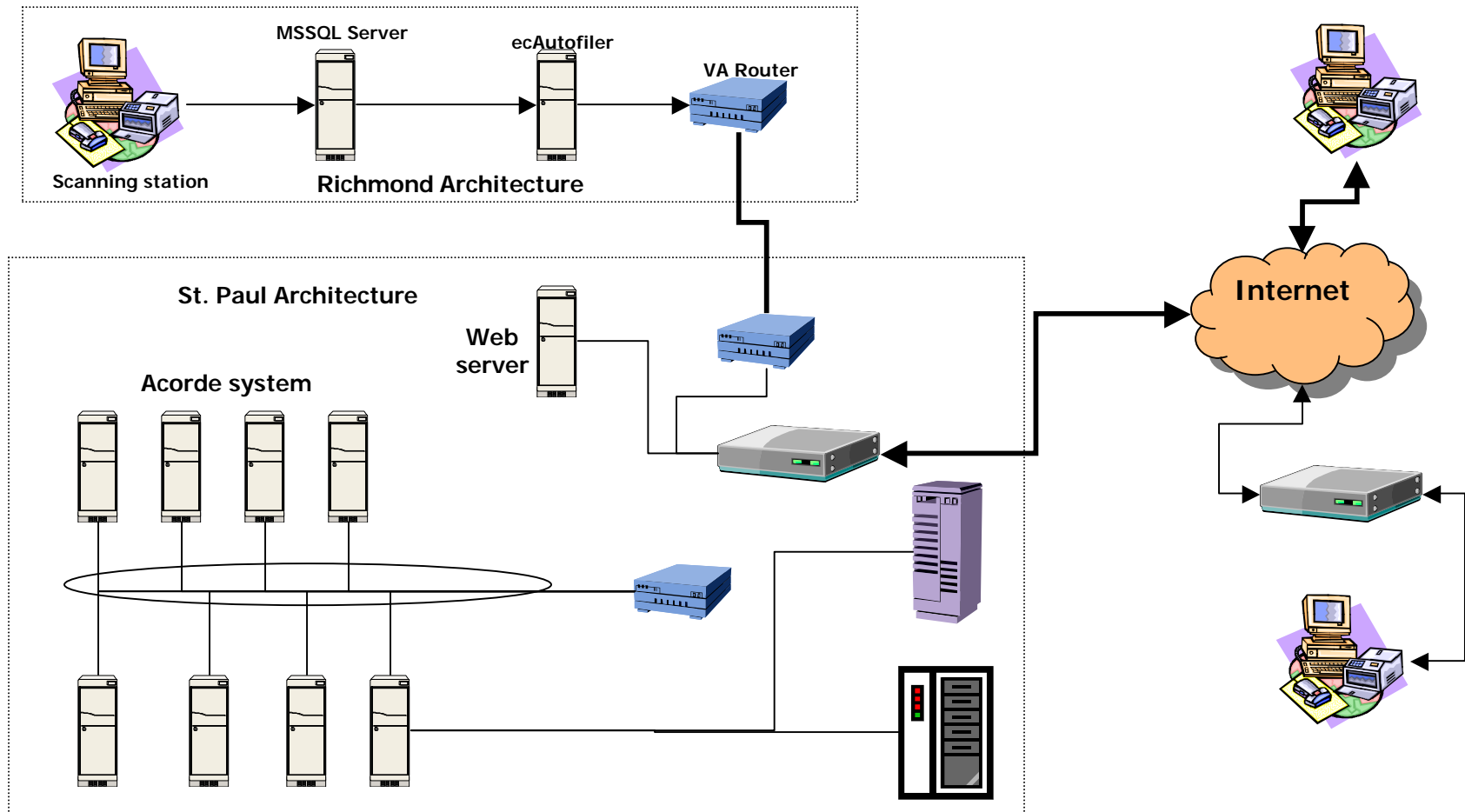
Current EDM Solution – Metrics

During 2002, FSA successfully deployed an Optika Acorde-based Electronic Document Management solution to two business channels Schools - Case Management and Oversight Division (CMO) and Financial Partners.

- Key Metrics* for Schools Channel:
  - 68 distinct subfolder and document type combinations,
  - 229,059 multi-page PDF documents,
  - 3.2 million pages of scanned images,
  - Over 4 million pages archived,
  - 620 MB Acorde database,
  - 10 (9.1GB) optical disks,
  - 84.2 GB of electronic storage space in the SAN,

  * Volume from inception of the project thru September 26, 2002

- Key Metrics* for Financial Partners Channel:
  - 163 distinct subfolder and document type combinations,
  - 13,263 multi-page PDF documents,
  - 0.56 million pages of scanned images,
  - over 0.5 million pages archived,
  - 32 MB Acorde database,
  - 2 (9.1GB) optical disks,
  - 11.4 GB of electronic storage space in the SAN.

Schools EDM - Technical Overview

The Optika Acorde-based EDM Solution for Schools channel has been deployed at FSA Washington D.C. HQs and is accessed by users based in DC and all 10 FSA regional offices.   All scanning and conversion activities are being done off-site at the Richmond facility.

MSSQL Server

ecAutofiler

VA Router

Scanning station

Richmond Architecture

St. Paul Architecture

Web server

Acorde system

Internet

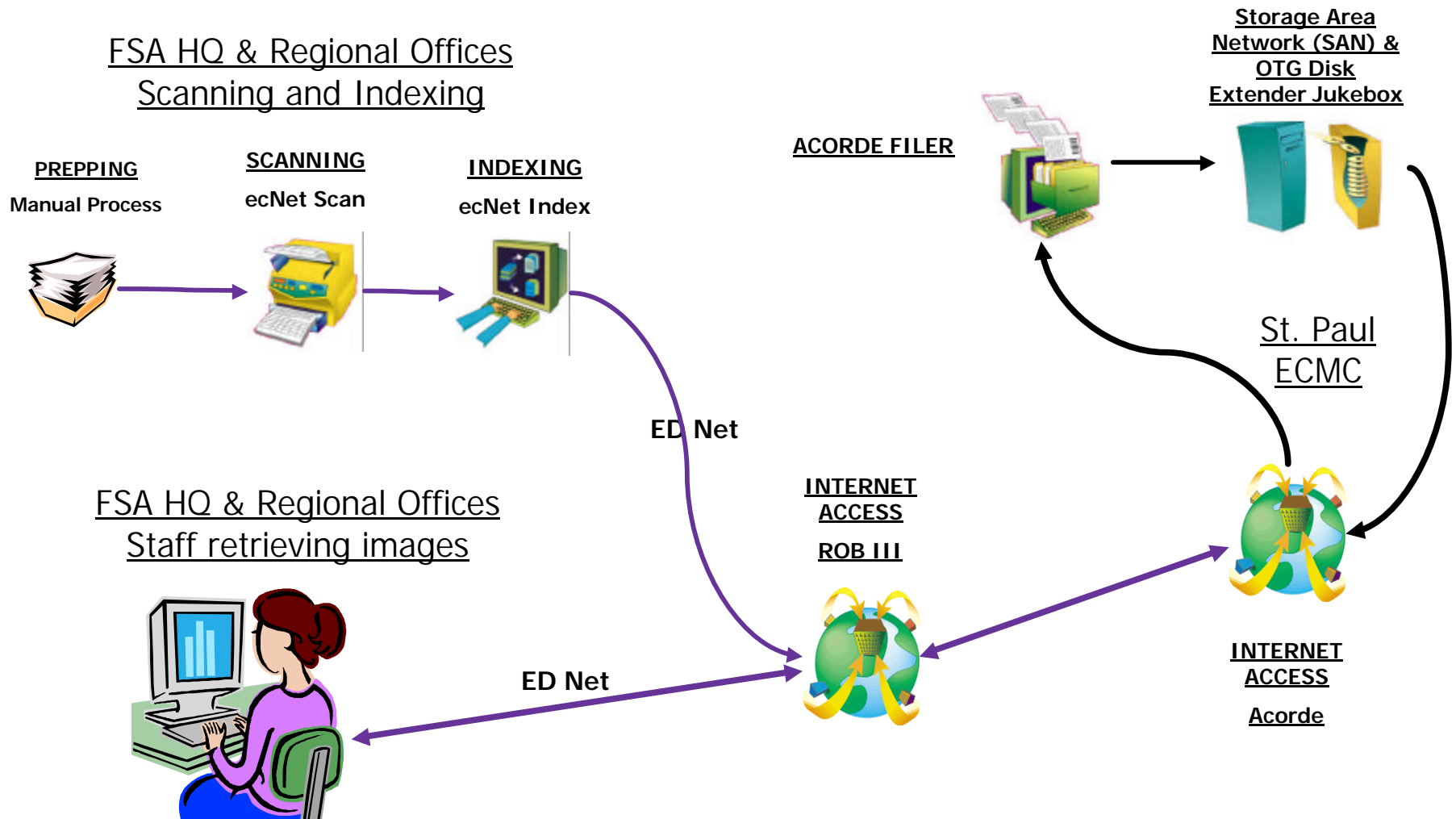# Financial Partners EDM - Technical Overview

The Optika Acorde-based EDM Solution for Financial Partners has been deployed at FSA's Washington D.C. HQs and 5 regional offices. The solution is decentralized, with users able to scan and convert their paper documents at their respective locations.

Background - Document Management v/s Records Management

Document management

    –   **Documents are created, managed, and owned by author(s) of the document.**

Records management

    –   **When corporate policy or regulatory mandates dictates a document to become a record, ownership and management responsibilities shift away from the author to the organization.**

Characteristics	Document Management (DM)	Records Management (RM)
Primary Application Focus	Information-centric.	Policy-centric.
Application is designed to do these tasks.	Manage information in documents, make it easier to access, share.	Control corporate assets, Ensure regulatory compliance.
Role of a "document".	Information container.	Evidence.
Value basis.	Re-usability, reference.	Statutory, regulatory, historic, operational
Duration of usage.	Instantaneous – used during creation, revision, searching.	Used throughout the entire lifecycle, until record is disposed.

Records Management COTS Packages

Before deploying their current Optika-based EDM solution, FSA had evaluated several leading COTS package vendors to choose an appropriate electronic records managment product.

First Round – February / March 2001.

- FSA selected the following vendor solutions - Tower, Open Text, Provenance and Hummingbird for further evaluation.

- These vendors were selected because of their expertise in the records management industry and their ability to deploy a DOD 5015 certified solution.

- At the end of the evaluation process, Open Text was selected as FSA's preferred vendor based on ease of implementation, ease of maintenance and demonstrated fit with requirements.

After FSA deployed their existing Optika-based EDM solutions, it was decided to evolve this solution into a NARA-compliant Electronic Records Management solution. To accomplish this, several leading COTS vendors were invited to demonstrate their product capabilities.

Second Round – July / September 2002.

- COTS solutions from the following vendors - FileNet, Documentum, Mobius, TrueArc and Optika were analyzed.

- These vendors were selected because of their demonstrated expertise in the records management industry and their ability to deploy a DOD 5015 certified solution.

- Optika's Acorde suite of products were evaluated to explore the feasibility of transitioning from the current Optika solution.

- Mobius emerged as the leading candidate amongst major vendors.   As requested by FSA, implementation scenarios using either Mobius or Optika products have been laid out in the following slides.

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ERM Solution Overview Using Mobius

A flexible scalable ERM solution can be deployed using COTS products from Mobius Management Systems.   Mobius Management Systems is a leading provider of imaging and content management solutions. FSA's ERM solution will be configured using 3 major components:

1. **Mobius ViewDirect:**

   - ViewDirect acts as the foundation and provides all of the "enabling software" to unlock the power of the content stored in the content repository.

   - Provides APIs to work with any of the popular Web Applications Servers such as WebSphere or WebLogic.

   - Search engine to search across multiple repositories for all enterprise documents.

2. **Mobius DocumentDirect:**

   - Supports secure Internet-based viewing of all documents.

   - Can be used from any desktop with any Web browser. Requires no ActiveX or plug-ins to view documents, making it easier to administer.

3. **Mobius RMSDirect:**

   - Provides comprehensive records management capabilities.

   - Certified to meet the latest DoD 5015.2 requirements.

   - Sets retention rules on record categories and folders.

   - Provides secured control of record administration and scheduled destruction.

   - Ability to manage vital records.

Transition / Implementation Plan Using Mobius

A scalable ERM solution using Mobius COTS products can be rolled out to FSA users within 4 to 6 months after task order award. A detailed implementation plan will be developed within the first 2 weeks.

TO Award | **30 Days After Award (30 DAA)** | **60 DAA** | **3 MAA** | **4 MAA**

Project Kickoff & Sol. Design

Deliverables:

System Architecture
Solution Design
Training Plan
Test Plan
Project Plan

Solution Configuration & Installation

Migration of Images to Mobius

Functional / System Testing

User Testing

User Training

Rollout

Costs*	FY03
Products:	$ 100 k (150 k in FY04)
Services:	$ 300 k
Total:	**$ 400 k (150 k in FY04)**

* Estimates only. Product estimates include H/w, S/w and License costs.

ERM Solution Overview Using Optika

An ERM solution can also be rolled out using COTS products from Optika. Optika is a leading provider of workflow and imaging solutions. The FSA solution will build upon components of the currently deployed Acorde-based EDM solution.
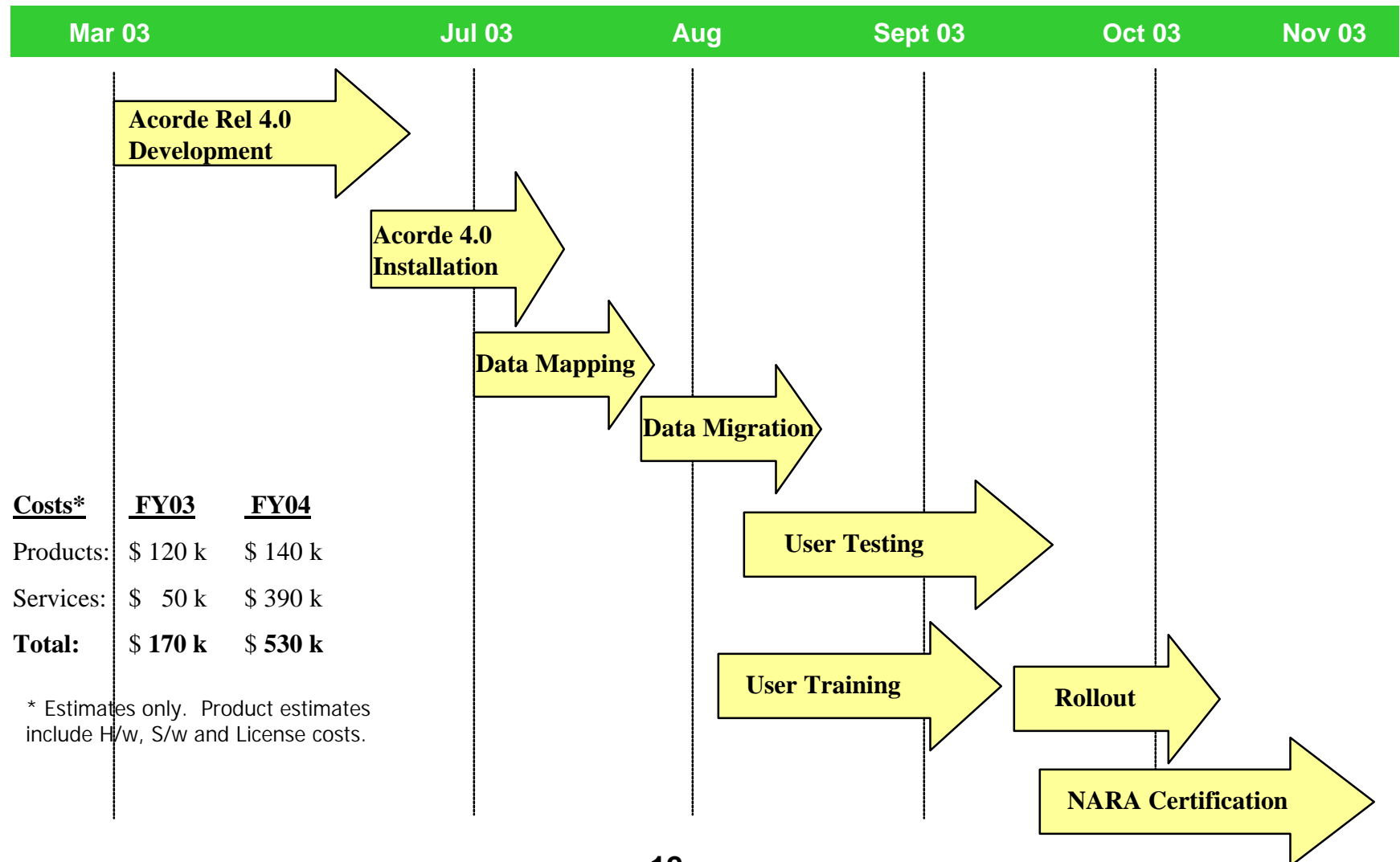
1.   **Acorde Release 4.0:**

   • The current Acorde release does not provide ERM capabilities.

   • Acorde's new release 4.0 which provides ERM capabilities is slated for release in July 2003.

   • This release will provide enhanced features and also incorporate Selectec's Record Management product to provide records management capabilities.

   • Documents currently stored in the Acorde repository will not be required to be migrated to a new repository.

2.   **Selectec:**

   • Selectec's integration with Acorde is scheduled to be certified by NARA in September 2003.

   • Will provide the capability to manage records throughout their entire lifecycle.

   • Upon certification, will satisfy the latest set of DoD 5015.2 requirements.

   • Sets retention rules on record categories and folders.

   • Provides secured control of record administration and scheduled destruction.

Transition / Implementation Plan Using Optika

An ERM solution using Optika COTS products can be rolled out to FSA users by Nov 2003. A detailed implementation plan will be developed within the first 2 weeks.

Mar 03	Jul 03	Aug	Sept 03	Oct 03	Nov 03

Acorde Rel 4.0 Development

Acorde 4.0 Installation

Data Mapping

Data Migration

Costs*	FY03	FY04
Products:	$ 120 k	$ 140 k
Services:	$ 50 k	$ 390 k
Total:	**$ 170 k**	**$ 530 k**

* Estimates only. Product estimates
include H/w, S/w and License costs.

User Testing

User Training

Rollout

NARA Certification

Mobius v/s Optika Considerations

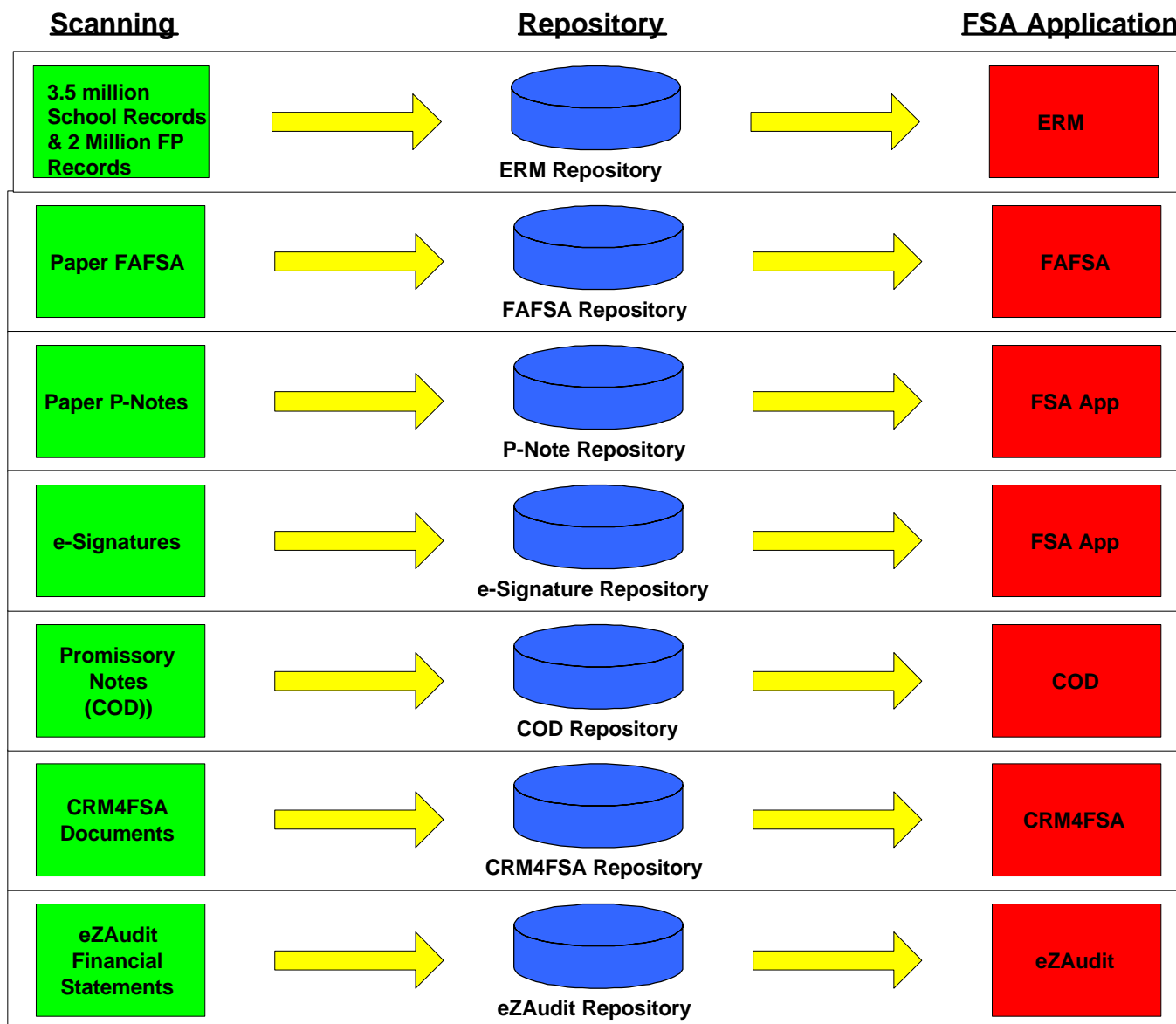| Mobius	Optika
• Using Mobius enables FSA to rollout an ERM solution to users by April 2003. • The Mobius solution has been certified by NARA and meets DoD 5015.2 standards. • Documents currently stored within the Acorde repository will need to be migrated into the Mobius repository. • User interface will be different than what is currently being used. • Mobius-based solution set provides a Siebel-certified interface to the Siebel CRM application suite. • Product has been successfully installed at other federal agencies.	• Optika's Acorde solution components are currently being used by FSA. • User familiarity with interfaces will be maintained. • Deployment of an ERM solution will have to postponed until Dec 2003, since records management functionality is currently being developed by Optika. • Only documents that are considered records need to be migrated and re-classified as records. • The Optika solution is scheduled for NARA certification in Sept 2003.

Enterprise Repository Considerations

A repository will be an integral part of any ERM solution.

Implementing a repository that can be leveraged by FSA applications across FSA business channels will produce significant benefits.

Key Benefits

1. Implementing a repository that can be shared across channels will result in lower recurring annual operational and maintenance costs as compared to supporting multiple repositories utilizing multiple technologies.

2. Build, test and deployment cost savings can also be realized by using a shared repository and shared technology platform in lieu of stove-pipe development efforts.

3. Security can be managed more effectively across multiple applications rather than by each application.

4. A single administrative interface can manage the entire lifecycle for all official records (create, manage, store, dispose).

5. All documents and any other content placed into a repository can be searched and viewed thru a common interface. This interface could be made available to all applications using ITA common services.

Documents/ Record Management Current State

Scanning	Repository	FSA Application
3.5 million School Records & 2 Million FP Records	ERM Repository	ERM
Paper FAFSA	FAFSA Repository	FAFSA
Paper P-Notes	P-Note Repository	FSA App
e-Signatures	e-Signature Repository	FSA App
Promissory Notes (COD))	COD Repository	COD
CRM4FSA Documents	CRM4FSA Repository	CRM4FSA
eZAudit Financial Statements	eZAudit Repository	eZAudit

All FSA document repositories are not shown.

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FSA Target State Vision

Scanning

School & FP Records

Paper FAFSA

Paper P-Notes

Ombudsman Records

CFO Records

e-Signatures

Other Business Units

Promissory Notes (COD)

CRM4FSA Documents

eZAudit Financial Statement

Records Management / Content Management

Repository

Secured Access
Workflow
Web-enabled
Records Management
Lower TCO

Internal Users
FSA Users

EAI / ITA

Internal FSA Applications

COD	CRM4FSA
ERM	FAFSA
eZAudit	Other FSA Apps

External Users

Schools

Financial Partners